

850718-06

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

## FOR AGENCY USE

Application Date

Application Number

## 1. Agency Address

Office of Comptroller General  
Insurance Department  
Agents Licensing Division-Computer Operations  
Rm. 616, West Tower, Floyd Bldg.  
Atlanta, GA 30334

## FOR RECORDS MANAGEMENT USE

Application Number

82-544-A

Date Received

JUL 18 1985

Date Completed

OCT 9 1985

## 2. Person to Contact

Debbie Richardson

## Working Title

Computer Operations Supervisor

## Telephone Number

656-2100

## 3. Action Requested

- a. ☐ Establish Retention Schedule; record will continue to accumulate.  
b. ☐ Dispose of present accumulation; no further accumulation anticipated.  
c. ☒ Amend Application No. 82-544 Check One: ☒ Change; ☐ Supersede; ☐ Void

## 4. Dates of Series

Earliest

Latest

7/1/81

To Date

## 5. Record Series Title (followed by title used in office; if different)

First-time application Batch Reports

## 6. Division and Office Function

What is the function of the Division and the Office in which this record series is created?

The Agents Licensing Division is responsible for the legal licensing of agents, counselors, brokers and adjusters for all classes of insurance by strict enforcement of the qualification requirements for all applicants.

The Computer Operations Section is responsible for batching and processing first-time license applications, renewals, certificate of authority request and annual listings, re-examination permits, permit renewals, bad checks, redeposits and refunds and balancing such with the fiscal department. The section also processes all insurance examinations and issues and prints licenses, failure notices, permits and letters of certification/clearance letters to agents applying for licenses in other states.

## 7. Record Series Description

This file contains the following documents (include form numbers and titles, if any):  
Attach samples of the file.

Documents relating to:

fees paid for individuals applying for insurance licenses  
sponsored by a specific insurance company

Included are:

Batch Control Sheets, Batch Balance Lists and Batch Extract Lists

File is arranged:

chronologically by Fiscal Year; thereunder numerically by  
assigned Batch number.

## 8. Monthly Reference Rate

How often are records referred to which are:

One to six months old 12; Seven to twelve months old 6; Thirteen to twenty-four months old 3;  
twenty-five months and older 1?

## 9. Annual Rate of Accumulation of Records

Letter-size drawers \_\_\_\_\_; Legal-size drawers \_\_\_\_\_; Shelves 2; Other (specify) \_\_\_\_\_

X	If not, where is it?
X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X	c. Is this a vital record?
X	d. Does this series have historical or long term research value?
X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
X	f. Is the information contained in this series ever published? If yes, attach copy.
X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
X	i. Is this series (or a major portion of it) regularly microfilmed?
X	j. Does the record series result in a computer printout?

# 11. Retention Requirements

The following requires the series to be kept:

a. State Law	<u>0</u> years.	d. Audit period	<u>1</u> years.
b. Statute of limitation	<u>2 *</u> years.	e. Administrative need	<u>3</u> years.
c. Federal law	<u>0</u> years.	f. Federal retention instructions	<u>0</u> years.

\* See attached sheet

Attach copy or excerpt of laws or regulations. Explain administrative need.

Information is needed to verify receipt of payments, and for reference in the event a certificate is not renewed in one year, but renewal is requested in a subsequent year. Also used in the event legal action is initiated against agents who have not acquired the proper licenses or certificates of authority.

# 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☒ Hold in the current files area 6 month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area, hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 2 1/2 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Jerry H. Brook</i>	7-15-85	<i>Fred Anderson</i>	7/15/85
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		State Auditor/Designee	8-5-85
		Secretary of State/Designee	8/2/85
		Attorney General/Designee	10/6/85



# APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

**INSTRUCTIONS:** See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Office of the Comptroller General Insurance Department Agents Licensing Division Room 132 State Capitol Atlanta, Georgia 30384	Application Number <b>82-544</b>	
Application Number		Date Received <b>OCT 7 1982</b>	Date Completed <b>OCT 25 1982</b>
2. Person to Contact <b>Angela R. Watkins</b>		Working Title <b>Principal Clerk</b>	Telephone Number <b>656-2100</b>
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest <b>7-1-81</b> Latest <b>PRESENT</b>		5. Records Series Title (followed by title used in office, if different) <b>First Time Insurance Application Batch Control Sheets</b>	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? <b>The Agents License Division is responsible for processing applications and issuing new agents' licenses and renewing permanent licenses; examining agents, conducting pre-hearing conferences; and for preparing certificates for agents being licensed as non-residents in other states and accounting for all Agents Licensing and Certificates of Authority fees.</b>			
7. Record Series Description		This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.	
Documents relating to:		<b>Fees paid by Individual Agents or Individual Insurance Companies to sponsor said agents to take the Georgia Insurance Exam(s).</b>	
Included are:		<b>Top Sheets with Batch number, Batch Control Sheets, Batch Balance List Status Sheets.</b>	
File is arranged: <b>Chronologically by Fiscal Year; thereunder numerically by assigned Batch number.</b>			
8. Monthly Reference Rate		How often are records referred to which are:	
One to six months old <b>6</b> ; Seven to twelve months old <b>6</b> ; Thirteen to twenty-four months old <b>3</b> ; twenty-five months and older <b>1</b> ?			
9. Annual Rate of Accumulation of Records			
Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) <b>6 Cubic Ft.</b>			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
X		j. Does the record series result in a computer printout?

#### 11. Retention Requirements

The following requires the series to be kept:

a. State Law	_____ years.	d. Audit period	<u>1</u> years.
b. Statute of limitation	_____ years.	e. Administrative need	_____ years.
c. Federal law	_____ years.	f. Federal retention instructions	_____ years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

#### 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☐ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area, hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 3 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Jerry Holbrook</i>	10-6-82	<i>Fred Anderson</i>	10-6-82
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		State Auditor/Designee	10-18-82
		Secretary of State/Designee	10/14/82
		Attorney General/Designee	10-20-82

Addition to item 11b.

These files can be used in the event a person is charged with selling insurance without the proper licenses or authority: The charge, according to O.C.G.A. 33-5-3, would be a misdemeanor. According to O. C. G. A. 17-3-1, the statute of limitation on a misdemeanor is two years.

(The above alteration to the schedule was made by Harmon Smith and Charles Saxon based on authority granted to Harmon Smith by the Comptroller General's records officer Mickey Anderson in a telephone conversation July 30, 1985.)